



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/921,988	08/06/2001	Dudley Williams	1954-353

CONFIRMATION NO. 6893

6449
ROTHWELL, FIGG, ERNST & MANBECK, P.C.
555 13TH STREET, N.W.
SUITE 701, EAST TOWER
WASHINGTON, DC 20004

FORMALITIES LETTER



OC000000006540240

Date Mailed: 09/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 420.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

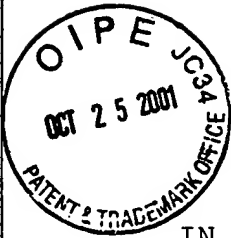
PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/26/2001 JBALINAN 00000013 09921988

01 FC:201
02 FC:205

370.00 OP
65.00 OP

1954-353
MC:lw



SECTOR

4/2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)
John Dudley WILLIAMS et al.) **BOX MISSING PARTS**
Serial No. 09/921,988) Attention:
Filed: August 6, 2001) Applications Branch
For: FERROCENYL BORONATE DERIVATIZATION OF
CHEMICAL COMPOUNDS UNDERGOING MASS
SPECTROMETRY ANALYSIS

RESPONSE TO NOTICE TO FILE MISSING PARTS

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In response to a Notice to File Missing Parts of Application under 37 CFR 1.53(b) dated September 10, 2001, response copy attached, a Declaration and Power of Attorney identifying the above-referenced application by Serial Number and Filing Date is being herewith submitted. Also attached is a check in payment of the following fees:

\$ 65.00 (surcharge under 37 C.F.R. 1.16(e))
370.00 (basic filing fee)
\$ 435.00 TOTAL

Please charge any additional fees or credit any overpayment for the payment of the filing fee, any extra claims fees or the

Serial No. 09/921,988

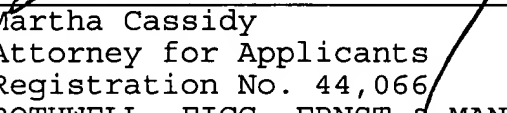
surcharge to deposit account number 02-2135. An additional copy of this letter is enclosed for that purpose.

The following document is being submitted concurrently under separate cover:

- Recordation and Assignment document.

Respectfully submitted,

By


Martha Cassidy
Attorney for Applicants
Registration No. 44,066
ROTHWELL, FIGG, ERNST & MANBECK, p.c.
Suite 701-E, 555 13th Street, N.W.
Washington, D.C. 20004
Telephone: (202)783-6040

Enclosures

1954-353
MC:lw



RG COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)	OFFICE OF INITIAL PATENT EXAMINATION'S
)	CUSTOMER SERVICE CENTER
John Dudley WILLIAMS et al.)	
)	
Serial No.: 09/921,988)	Examiner: Unassigned
)	
Filed: August 6, 2001)	Group Art Unit: 1743
)	
For: FERROCENYL BORONATE)	
DERIVATIZATION OF)	
CHEMICAL COMPOUNDS)	
UNDERGOING MASS)	
SPECTROMETRY ANALYSIS)	

REQUEST FOR CORRECTED FILING RECEIPT

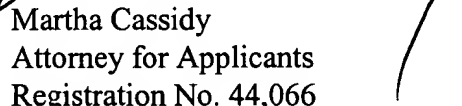
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Applicants are in receipt of the Official Filing Receipt dated 09/10/2001. Attached hereto is a copy of the Official Filing Receipt with the requested changes marked in red. Also enclosed are copies of the signed Declarations & Power of Attorney of John Dudley Williams and Mary K. Young verifying their respective residences.

Respectfully submitted,

By


Martha Cassidy
Attorney for Applicants
Registration No. 44,066
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Enclosures



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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/921,988	08/06/2001	1743	0.00	1954-353	33	11	1

CONFIRMATION NO. 6893

6449

ROTHWELL, FIGG, ERNST & MANBECK, P.C.
555 13TH STREET, N.W.
SUITE 701, EAST TOWER
WASHINGTON, DC 20004

FILING RECEIPT



OC000000006540239

Date Mailed: 09/10/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

AUBURN, CA
JOHN Dudley Williams, ~~Residence Not Provided~~ & MARY K. YOUNG, RIVERSIDE, CA

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/223,035 08/04/2000

Foreign Applications

If Required, Foreign Filing License Granted 09/07/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Ferrocenyl boronate derivatization of chemical compounds undergoing mass spectrometry analysis

Preliminary Class

436

DHD

<p>RECEIVED/DOCKETING ROTHWELL FIGG ERNST & MANBECK</p> <p>SEP 13 2001</p> <p>REFERRED TO <i>EAP/LM2</i> FILE NO. <i>1954-0333</i> OK TO FILE</p>

9/15/01

Data entry by : ALEMEWORK, SELAMAWIT

Team : OIPE

Date: 09/10/2001



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Cod of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
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